

2176

PTO/SB/21 (08-00)

\*Please type a plus sign (+) inside this box → ☐

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.


<b>TRANSMITTAL FORM</b> (to be used for all correspondence after initial filing)	Application Number	10/087,040	
	Filing Date	February 28, 2002	
	First Named Inventor	Miller, David et al.	
	Group Art Unit	Unassigned	
	Examiner Name	Unassigned	
Total Number of Pages in This Submission	1	Attorney Docket Number	19930-002800

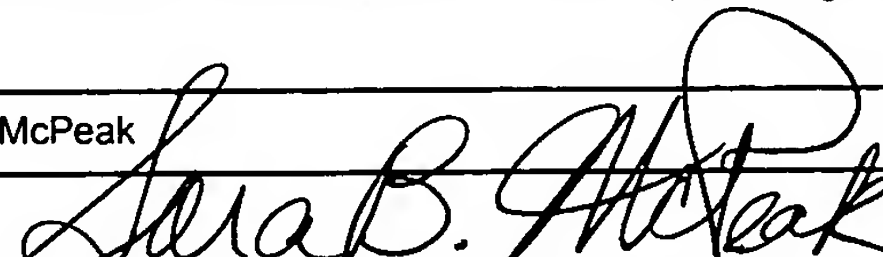
ENCLOSURES (check all that apply)		
<input type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Assignment Papers (for an Application)	<input type="checkbox"/> After Allowance Communication to Group
<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment / Response	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	1. Return Postcard
<input checked="" type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Request for Refund	2. PTO Form 1449 (2 pages)
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> CD, Number of CD(s)	3. 26 References
<input type="checkbox"/> Response to Missing Parts/ Incomplete Application	Remarks	
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	The Commissioner is authorized to charge any additional fees to Deposit Account 20-1430.	

RECEIVED

MAY 13 2002

Technology Center 2100

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm and Individual name	Townsend and Townsend and Crew LLP Douglas M. Hamilton Reg. No. 47,629
Signature	
Date	May 6, 2002

CERTIFICATE OF MAILING	
I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date: May 6, 2002	
Typed or printed name	Sara B. McPeak
Signature	 Date May 6, 2002

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.  
DE 7069870 v1

Date of Deposit May 6, 2002

PATENT  
Attorney Docket No.: 19930-002800

I hereby certify that this is being deposited with the United States Postal Service as first-class mail on the date indicated above and is addressed to:

Assistant Commissioner for Patents

U. S. Patent and Trademark Office  
Washington, D.C. 20231

By: \_\_\_\_\_

Sara B. McPeak

RECEIVED  
MAY 13 2002  
Technology Center 2100

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of:

David Miller et al.

Application No.: 10/087,040

Filed: February 28, 2002

For: SYSTEMS AND METHODS FOR  
OVERCOMING STICTION

Examiner: Unassigned

Art Unit: Unassigned

INFORMATION DISCLOSURE  
STATEMENT UNDER 37 CFR §1.97 and  
§1.98

Assistant Commissioner for Patents  
U. S. Patent and Trademark Office  
Washington, D.C. 20231

Sir:

The references cited on attached form PTO-1449 are being called to the attention of the Examiner. Copies of the references are enclosed. It is respectfully requested that the cited references be expressly considered during the prosecution of this application, and the references be made of record therein and appear among the "references cited" on any patent to issue therefrom.

As provided for by 37 CFR 1.97(g) and (h), no inference should be made that the information and references cited are prior art merely because they are in this statement and no representation is being made that a search has been conducted or that this statement encompasses all the possible relevant information.

Applicant believes that no fee is required for submission of this statement, since it is being submitted prior to the first Office Action. However, if a fee is required, the Commissioner is authorized to deduct such fee from the undersigned's Deposit Account No. 20-1430. Please deduct any additional fees from, or credit any overpayment to, the above-noted Deposit Account.

Respectfully submitted,



Douglas M. Hamilton  
Reg. No. 47,629

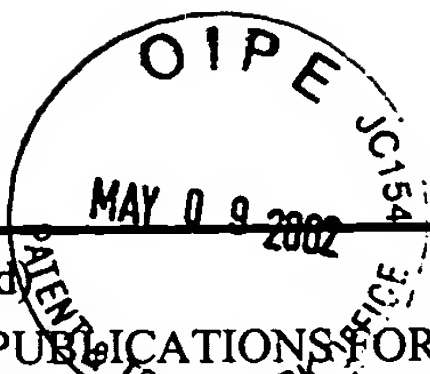
TOWNSEND and TOWNSEND and CREW LLP  
Two Embarcadero Center, 8<sup>th</sup> Floor  
San Francisco, California 94111-3834  
Tel: 303-571-4000  
Fax: 303-571-4321  
DMH/sbm



FORM PTO-1449 (Modified)		Attorney Docket No.: 19930-002800US	Application No.: 10/087,040
LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT (Use several sheets if necessary)		Applicant: David Miller et al.	
		Filing Date: February 28, 2002	Group: Unassigned
_____ AZ	W. Tang, et al., "Electrostatically Balanced Comb Drive for Controlled Levitation," Reprinted from Technical Digest IEEE Solid-State Sensor and Actuator Workshop, June 1990; pp. 198-202		
_____ BA	L. Torcheux et al., "Electrochemical Coupling Effects on the Corrosion of Silicon Samples in HF Solutions," J. Electrochem.Soc., Vol. 142, No. 6, June 1995		
_____ BB	P. VanKessel et al., "A MEMS-Based Projection Display," Proceedings of the IEEE, Vol. 86, No. 8, August 1998; pp. 1687-1704		
_____ BC	Microfabricated Silicon High Aspect Ratio Flexures for In-Plane Motion; dissertation by C. Keller, Fall 1998		
_____ BD	Gimballed Electrostatic Microactuators with Embedded Interconnects; dissertation by L. Muller; Spring 2000		
_____ BE			
EXAMINER		DATE CONSIDERED	

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

RECEIVED  
MAY 13 2002  
Technology Center 2100



FORM PTO-1449 (Modified)			Attorney Docket No.: 19930-002800US		Application No.: 10/087,040	
LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT (Use several sheets if necessary)			Applicant: David Miller et al.			
			Filing Date: February 28, 2002		Group: Unassigned	
Reference Designation			U.S. PATENT DOCUMENTS			Page 1
Examiner Initial	Document No.	Date	Name	Class	Sub-class	Filing Date (If Appropriate)
AA	5,414,540	05/09/95	Patel et al.	359	39	
AB	5,917,625	06/29/99	Ogusu et al.	359	130	
AC	5,999,672	12/07/99	Hunter et al.	385	37	
AD	6,028,689	02/22/00	Michalick et al.	359	224	
AE	6,040,935	03/21/00	Michalick	359	198	
AF	6,097,859	08/01/00	Solgaard	385	17	
AG	6,108,471	08/22/00	Zhang et al.	385	37	
AH	6,128,122	10/03/00	Drake et al.	359	224	
AI	09/442,061		Weverka, et al.			11/16/99
AJ						
AK						
FOREIGN PATENT DOCUMENTS						
	Document No.	Date	Country	Class	Sub-class	Translation (Yes/No)
AL						
AM						
OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)						
AN	T. Akiyama, et al.; "Controlled Stepwise Motion in Polysilicon Microstructures," Journal of Microelectromechanical Systems, Vol. 2, No. 3, September 1993; pp.106-110					
AO	Kenneth Bean, et al., "Anisotropic Etching of Silicon," IEEE Transactions on Electron Devices, Vol. Ed-25, No. 10, October 1978					
AP	Dino R. Ciarlo, "A latching accelerometer fabricated by the anisotropic etching of (110) oriented silicon wafers," Lawrence Livermore Nat'l Laboratory, March 1, 1992					
AQ	A.S. Dewa, et al., "Development of a Silicon Two-Axis Micromirror for an Optical Cross-Connect," Solid State Sensors and Actuators Workshop, Hilton Head, South Carolina, pp. 93-96					
AR	Joseph Ford et al., "Wavelength Add Drop Switching Using Tilting Micromirrors," Journal of Lightwave Technology, Vol. 17, No. 5, May 1999					
AS	J. Grade et al., "A Large-Deflection Electrostatic Actuator for Optical Switching Applications, Solid-State Sensor and Actuator Workshop, Hilton Head Island, South Carolina, June 4-8, 2000; pp. 97-100					
AT	V. Kaajakari et al.; "Ultrasonic Actuation for MEMS Dormancy-Related Stiction Reduction," In MEMS Reliability for Critical Applications, Proceedings of SAPIE Vol. 4180 (2000); pp. 60-65					
AU	T.L. Koch et al., "Anisotropically etched deep gratings for InP/InGaAsP optical devices," J.App. Phys. 62 (8), 15 October 1987					
AV	I. Nishi et al., "Broad-Passband-Width Optical Filter for Multi-Demultiplexer Using a Diffraction Grating and a Retroreflector Prism," Electronics Letters, Vol. 21, No. 10, 9 <sup>th</sup> May 1985					
AW	P. Phillippe et al., "Wavelength demultiplexer: using echelette gratings on silicon substrate," Applied Optics, Vol. 24, No. 7, 1 April 1985					
AX	M. Schilling et al., "Deformation-free overgrowth of reactive ion beam etched submicron structures in InP by liquid phase epitaxy," Appl. Phys. Lett. 49 (12), 22 September 1986					
AY	Z. J. Sun et al., Demultiplexer with 120 channels and 0.29-nm Channel Spacing," IEEE Photonics Technology Letters, Vol. 10, No. 1, January 1998					

RECEIVED  
MAY 13 2002  
Technology Center 2100